**Florida Division of Emergency Management
Continuity of Operations Compliance Checklist**

This form must be attached to the Agency COOP plan when submitted for approval to the State Division of Emergency Management annually. Agencies should use this document as a cross reference to their COOP plans by listing the page number and paragraph where the criteria are located within their plan in the appropriate cell for each item in the matrix.

**The Agency COOP Coordinator must provide their signature on this document prior to submission.** This signature may be inserted by converting the completed checklist to a PDF and signing electronically or a scanned copy of the checklist with a wet signature.

Their signature authorizes that they have reviewed the COOP plan to ensure the checklist is accurate and the following requirements have been met:

* Plan has been reviewed and approved by agency leadership for the current year
* Names, if included, have been updated to reflect current staffing for the submission year
* Plan is consistent with the State Public Health Emergency Plan
* Plan demonstrates viable capability to perform essential functions during any emergency or other incidents that disrupts normal operations
* Accompanying Standard Operating Procedures (SOPs) and/or checklists for COOP implementation and execution are incorporated
* The agency’s IT Disaster Recovery Plans are capable of supporting COOP activities in accordance with Florida Statutes, Chapter 252: Communications and Data Processing are included in the COOP plan
* Alternate Facility Support Procedures are coordinated with the alternate facility manager

Each agency will submit an electronic copy of their plan along with this checklist to COOP@em.myflorida.com.



|  |
| --- |
| **Submission Contact Information** |
| Agency Name | Insert Agency Name |
| Agency Address | Insert Agency Address |
| COOP POC  | Insert Agency COOP Coordinator Name and Email Address |
| Phone Number | Insert Agency COOP Coordinator Phone Number(emergency and non-emergency #) |
| Alternate COOP POC | Insert Alternate Agency COOP Coordinator Name and Email Address |
| Phone Number | Insert Alternate Coordinator Phone Number(emergency and non-emergency #) |

**State of Florida - Continuity of Operations Checklist**

|  |  |
| --- | --- |
| **The plan must include:** | **Page Number** |
| Purpose, scope, and objectives | Pg.  |
| Situation and Assumptions | Pg.  |
| Authorities and References | Pg.  |
| **Mission Essential Functions and Personnel** |
| Identification of essential functions, programs, and personnel | Pg.  |
| Evaluation of functions for remote capabilities | Pg.  |
| The number of personnel required to perform essential functions | Pg.  |
| Staff roster by position/title  | Pg.  |
| **Delegations of Authority** |
| Authorities are identified that can and should be delegated | Pg.  |
| The circumstances under which the authorities would be exercised, including when they would become effective and terminated are described | Pg.  |
| The positions to which the authorities are delegated are listed | Pg.  |
| The limitations of the delegations of authority are identified | Pg.  |
| **Orders of Succession** |
| Orders of succession for key leadership are identified | Pg.  |
| Conditions for succession | Pg.  |
| Method of notification | Pg.  |
| Time, geographical, and organizational limitations of succession | Pg.  |
| **Logistics Support and Resource Requirements** |
| Identification of alternate facilities and related infrastructure | Pg.  |
| Identification of resources necessary for plan implementation | Pg.  |
| Pre-positioned equipment at alternate facilities | Pg.  |
| Drive-away kits and personal go-kit considerations | Pg.  |
| Pre-positioning of vital records and databases at the alternate facility prior to deployment | Pg.  |
| Provision for the acquisition of the resources necessary for continuity operations on an emergency basis, including considerations for a large-scale increase in the public's need to access government services | Pg.  |
| Reliable processes to acquire additional resources, including necessary personal protection equipment, to sustain operations for 30 days | Pg.  |
| **Interoperable Communications** |
| Identification of requirements for rapid and large-scale increases in the public’s need to access government through technology or other means during an emergency | Pg.  |
| Identification of data and communications systems to support mission essential functions | Pg.  |
| The procedures for interoperable communications provide internal and external communications | Pg.  |
| Provisions for redundant communications are included  | Pg.  |
| **Vital Records and Databases** |
| Identifies of vital record protection measures | Pg.  |
| Ensures back-up for legal and financial records | Pg.  |
| Identifies vital records, systems, and data (hard copy and electronic) critical to performing functions | Pg.  |
| Off-site back-up of electronic records and databases and storage of duplicate records | Pg.  |
| Describes a maintenance program to assure the records are accurate, current, and frequently updated | Pg.  |
| Identifies availability and back-up of Emergency operating records | Pg.  |
|  | Pg.  |
|  |  |
| **The plan must include:** | **Page Number** |
| **Concept of Operations** |
| **Activation Procedures** |   |
| Duty and non-duty hours, with and without warning | Pg.  |
| Decision process for activation or evacuation (or telework) | Pg.  |
| Direction and control | Pg.  |
| Mechanisms for implementation according to the magnitude of the incident | Pg.  |
| Provisions that ensure this plan can be activate simultaneously with other COOPs | Pg.  |
| Alert, notification, and activation of employees | Pg.  |
| Deployment procedures for employees, including procedures for travel to alternate facility and telework | Pg.  |
| Procedure to notify the State Watch Office of the decision to activate the agency’s COOP plan, to relocate, and the anticipated time of arrival at the alternate facility | Pg.  |
| Procedures for personnel accountability during alternate operations | Pg.  |
| Procedures to notify customers of new work location, phone numbers, re-route US mail, etc. | Pg.  |
| **Alternate Operations Procedures** |   |
| Time frame for capability to be fully operational at alternate site within 12 hours of activation | Pg.  |
| Site-Support Procedures for its in-route and alternate facility including re-establishment of communication with critical customers | Pg.  |
| Considerations for restricting physical access controls to the primary and alternate facility for employees and critical customers | Pg.  |
| Telecommunications and information technology support procedures and resources are included for the alternate facility and remote telework | Pg.  |
| Provisions for personnel transportation (parking), lodging, and dining at the alternate facility are established within the COOP plan | Pg.  |
| Procedures in place that provide for reliable logistical support, services, and infrastructure systems | Pg.  |
| Site-Support Procedures which identify the initial requirements for receiving, supporting, and relocating personnel to alternate facility | Pg.  |
| Provisions regarding the availability of, and distribution plans for, personal protective equipment  | Pg.  |
| Procedures for documenting operations when the COOP is activated during alternate operations  | Pg.  |
| **Reconstitution Procedures** |   |
| Provisions for reconstitution capabilities that allow for recovery from a catastrophic emergency and resumption of normal operations | Pg.  |
| **TT&E and Plan Maintenance** |
| Schedule and procedures for periodic tests, training, and exercises | Pg.  |
| Provisions are included for periodic test of the following: | Pg.  |
| Alert and notification procedures | Pg.  |
| Equipment at the alternate facility | Pg.  |
| Telework capabilities, if applicable | Pg.  |
| Operational plans, alternate facilities, and interoperable communications | Pg.  |
| A strategic and multi-year planning process that includes anticipated funding requirements | Pg.  |
| Provisions for updating the COOP plan and the SOPs annually | Pg.  |
| A coordinated program management process to ensure maintenance, operation, and funding for a viable COOP capability  | Pg.  |

|  |
| --- |
| **Additional Provisions, Procedures, and Actions** |
| Integration of National Incident Management System (NIMS) | Pg.  |
| Provisions for pandemics or other health related emergencies following the guidelines provided by the Florida Public Health Emergency Management Plan pursuant to section 381.00315 of the Florida Statutes | Pg.  |
| Provisions for cyber security of data and networks have been incorporated into the planning process | Pg.  |
| Provisions included that maintain efforts to minimize damage and losses of resources | Pg.  |
| Planning process incorporated considerations for an orderly response, recovery, and termination from any incident | Pg.  |
| Provisions for ensuring means of information coordination with the Governor to make uninterrupted communication certain with the internal organization of the agency, as well as externally to other agencies and to all identified critical customers | Pg.  |
| Plan includes a thorough After-Action and Remedial Action Plan process to assess all phases and elements of the alternate operations when/if the COOP plan is activated | Pg.  |